

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE PATENT
APPLICATION OF: Joseph G. GATTO
SERIAL No.: 09/524,253
ATTORNEY
DOCKET No: 23449-009
FILING DATE: March 13, 2000
ART UNIT : 3624
EXAMINER NARAYANSWAMY SUBRAMANIAN
FOR: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND
METHOD

#15
10/12/03

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUBMISSION OF FORMAL DRAWINGS

Sir:

Applicant submits herewith thirty-three (33) sheets of formal drawings (Figs. 1-34) for the above-identified patent application. The Examiner is respectfully requested to acknowledge receipt of these formal drawings.

In the event any additional fees are incurred upon the filing of this document, please charge the undersigned's Deposit Account 50-0311.

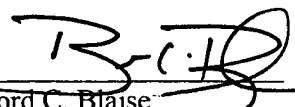
Dated: September 29, 2003

Respectfully submitted,

RECEIVED
OCT 08 2003

GROUP 3600

Customer No.
29315


Bradford C. Blaise
Registration No.: 47,429
MINTZ, LEVIN, COHN, FERRIS,
GLOVSKY AND POPEO P.C.
12010 Sunset Hills Road, Suite 900
Reston, Virginia 20190
703-464-4800

JP 10
SEP 29 2003
PATENT & TRADEMARK OFFICE

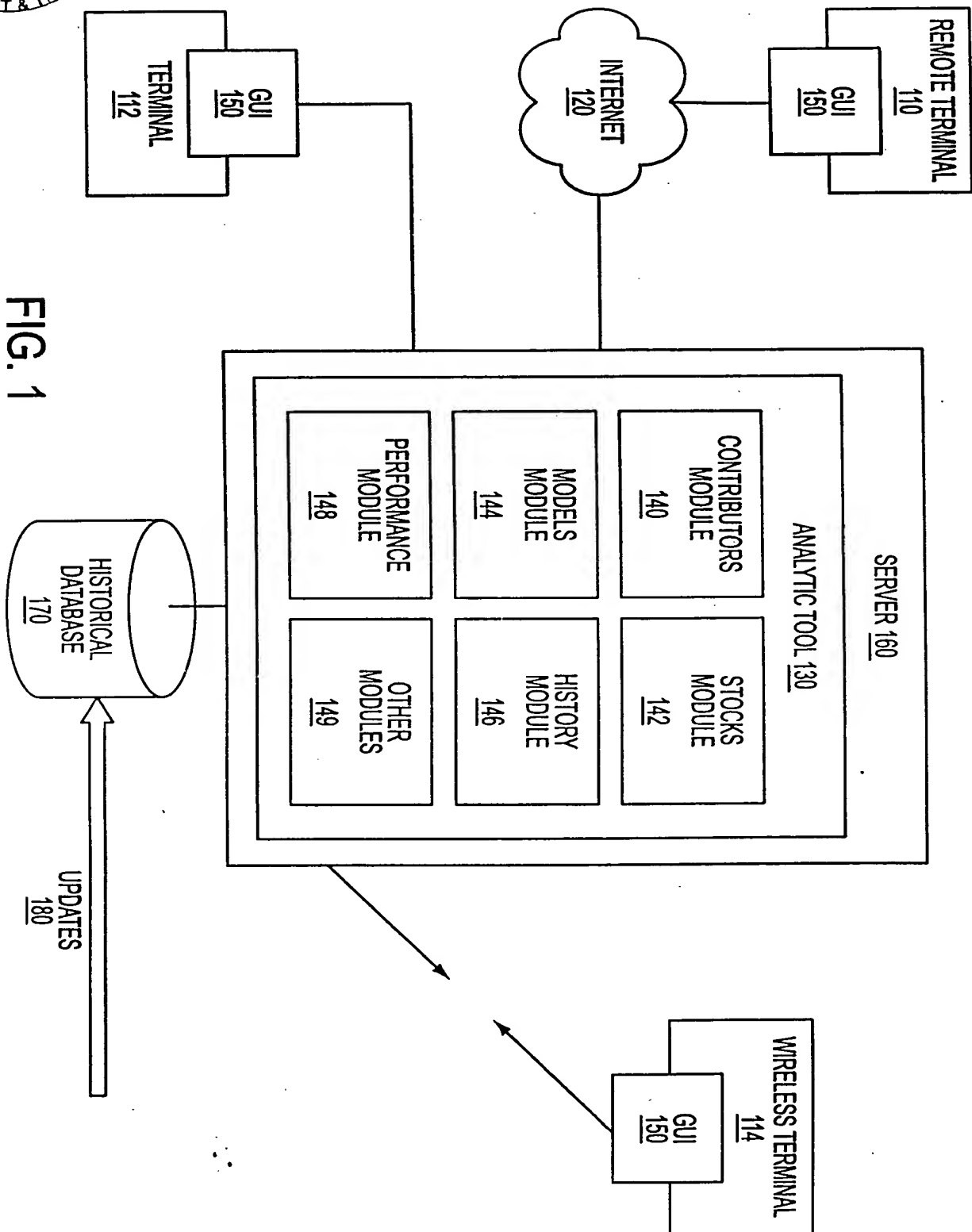
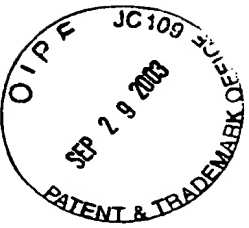


FIG. 1



220 221

☐ StartModeler - [Contributors]

File Options Help

Contributors [Analyst]
Broker
Security
Stocks
Stock Filters
Stock Sets
Models
Manage
Backtest
Results
History
Chart
Snapshot
Analysis
Price Change
Cons Change
Consistency
Performance

Analyst Last Name: - Search

CUSIP Broker... Broker Analyst... Analyst Name

210 230

FIG. 2

220

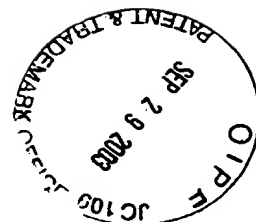
Contributor Search

Analyst Name: Search

Analyst Name	Analyst ID
Dube B	18084
Dube S	7919
Dubeau C	18847

Ok Cancel

FIG. 3



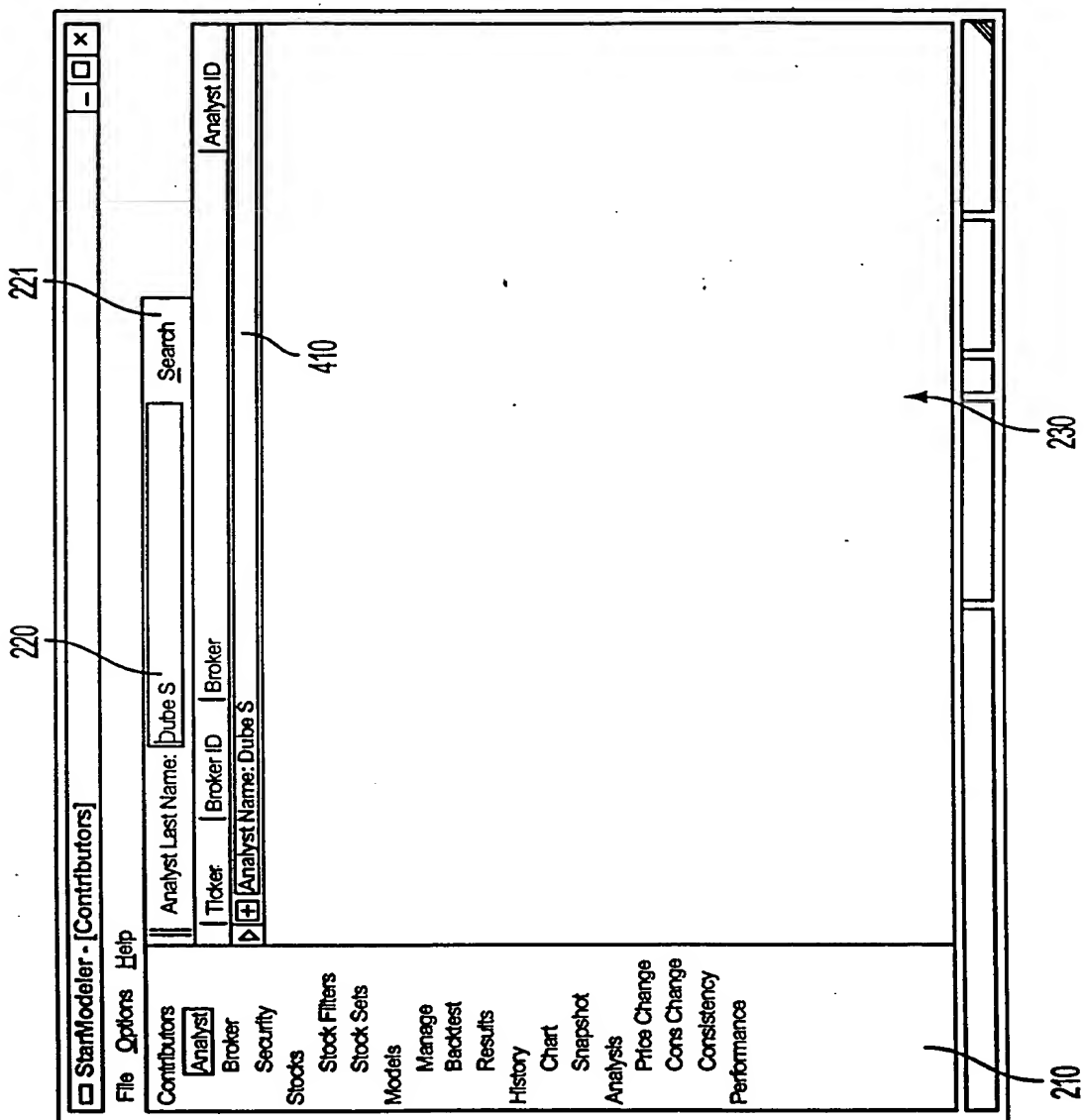
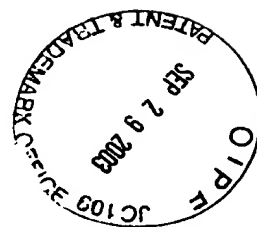


FIG. 4



510
520
220
530
540

StartModeler - [Contributors]
- □ x

File Options Help

Contributors

Analyst

Broker

Security

Stocks

Stock Filters

Stock Sets

Models

Manage

Backtest

Results

History

Chart

Snapshot

Analysis

Price Change

Cons Change

Consistency

Performance

Analyst Last Name: Dube S
Search

Ticker
Broker ID
Broker
Analyst ID

Analyst Name: Dube S			
BGH	251	Lehman Brothers	7919
DEC	251	Lehman Brothers	7919
DGN	251	Lehman Brothers	7919
HON	251	Lehman Brothers	7919
HWP	251	Lehman Brothers	7919
IBM	251	Lehman Brothers	7919
MMM	251	Lehman Brothers	7919
NCR	251	Lehman Brothers	7919
PRM	251	Lehman Brothers	7919
SY	251	Lehman Brothers	7919
TNDM	251	Lehman Brothers	7919
WAN	251	Lehman Brothers	7919
BGH	308	Lehman Brothers Japan	7919
DEC	308	Lehman Brothers Japan	7919
DGN	308	Lehman Brothers Japan	7919
HON	308	Lehman Brothers Japan	7919
IBM	308	Lehman Brothers Japan	7919
MMM	308	Lehman Brothers Japan	7919
NCR	308	Lehman Brothers Japan	7919
PRM	308	Lehman Brothers Japan	7919

210
505

FIG. 5



610
620
630
640

StarModeler - [Contributors]
- □ ×

File Options Help

Contributors

Analyst

☒ Broker

Security

Stocks

Stock Filters

Stock Sets

Models

Manage

Backtest

Results

History

Chart

Snapshot

Analysis

Price Change

Cons Change

Consistency

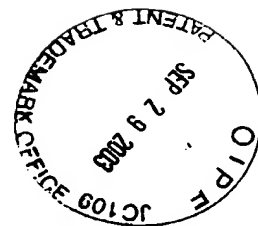
Performance

Broker Name: Wasserstein Perella & Co., Inc.
Search

Ticker	Broker ID	Analyst ID	Analyst Name
D [Broker: Wasserstein Perella & Co., Inc.]			
AAPL	1496	7919	Dube S
ABT	1496	7283	Dunne R
ACCX	1496	0	Unknown
ACCX	1496	45411	Loeb J
ACXT	1496	45411	Loeb J
ADPI	1496	46359	Childe J
AIG	1496	233	Picoult M
ALLM	1496	233	Picoult M
AMB	1496	44862	Maguire W
AMER	1496	52141	Klein W
AMIN	1496	45411	Loeb J
APA	1496	973	Ferretti P
APC	1496	973	Ferretti P
ARGY	1496	9267	Schmitt W
ARRO	1496	7283	Dunne R
ART	1496	1374	Alorino E
BA	1496	52828	San Pietro J
BAX	1496	7283	Dunne R
BBD	1496	52828	San Pietro J
BCR	1496	7283	Dunne R

210
605

FIG. 6



☐ StartModeler - [Contributors]

☐ File
 ☐ Options
 ☐ Help

☐ CUSIP
 ☐ Company Name
 ☐ Unique Ticker
 ☒ Listed Ticker
 AAPL

Analyst ...

	CUSIP	Broker ID	Broker	Analyst Name
	<input checked="" type="checkbox"/> Ticker: AAPL [Apple Computer]			
	03783310	7	Deutsche Banc Alex. Brown - Us	0 Unknown
	03783310	7	Deutsche Banc Alex. Brown - Us	658 Bradley O
	03783310	7	Deutsche Banc Alex. Brown - Us	1032 Stahlman M
	03783310	7	Deutsche Banc Alex. Brown - Us	1040 Jt. Rossi
	03783310	7	Deutsche Banc Alex. Brown - Us	1283 Reid C
	03783310	7	Deutsche Banc Alex. Brown - Us	6867 Rueppel P
	03783310	7	Deutsche Banc Alex. Brown - Us	7932 Eskenazi S
	03783310	11	Argus Research Corp.	938 Abramowitz W
	03783310	11	Argus Research Corp.	18158 Electrical/Electro
	03783310	11	Argus Research Corp.	32713 Office Equip.
	03783310	13	Unknown	30132 Post-Technology A
	03783310	15	Atlantis Investment Co.	103 Anderson A
	03783310	16	Prudential Securities	3106 Brown K
	03783310	16	Prudential Securities	5963 Wolk M
	03783310	16	Prudential Securities	33032 Martin R
	03783310	16	Prudential Securities	40709 Alexy K
	03783310	16	Prudential Securities	677 Young D
	03783310	25	Bateman	166 Harris L
	03783310	25	Bateman	4047 Kapka J
	03783310	28	Bear, Stearns & Co.	856 Monahan J

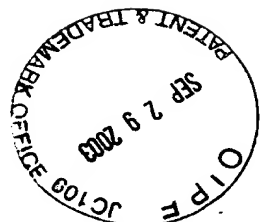


FIG. 7

810820830840850860870870a

☐ StarModeler - [Stock Filters and Lists]

File Options Help

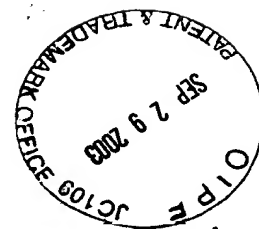
Contributors
 Analyst
 Broker
 Security
 Stocks
 Stock Filters
 Stock Sets
 Models
 Manage
 Backtest
 Results
 History
 Chart
 Snapshot
 Analysis
 Price Change
 Cons Change
 Consistency
 Performance

New ...Copy ...Import ...Rename ListDelete ListDelete TickerAdd Ticker

Owner	List Name	CUSIP	Uniq...	Current Ticker	Name
StarMine	Top 100	02364J11	AMER AOL		America Online
StarMine	Top 500 Activity Stocks (1999)	06947041	BCM BCH		Bco Central Hsp
Garito test-set		20563811	CPWR CPWR		Compware Corp
		17275R1	CSCO CSCO		Cisco Sys Inc
		24702511	DELL DELL		Dell Computer Cp
		34537011	F F		Ford Motor Co
		38258811	GDYS GDYS		Goody's Family Cl
		37044211	GM GM		Gen Motors Cp
		44929511	ICOS ICOS		Icos Corp
		45337C1	IPI INCY		Incyte Pharmaceu
		45814011	INTC INTC		Intel Cp
		46433011	ISIP ISIP		Isis Pharmaceuti
		59501811	MCDE MCDE		Microddle Pharm
		58392611	MEDD MEDC		Med-Design Corp
		71815411	MO MO		Philip Morris
		59491811	MSFT MSFT		Microsoft Cp
		71271311	PSFT PSFT		Peoplesoft Inc
		30229011	XON XON		Exxon
		98433211	YHOO YHOO		Yahoo! Inc

2101010

FIG. 8



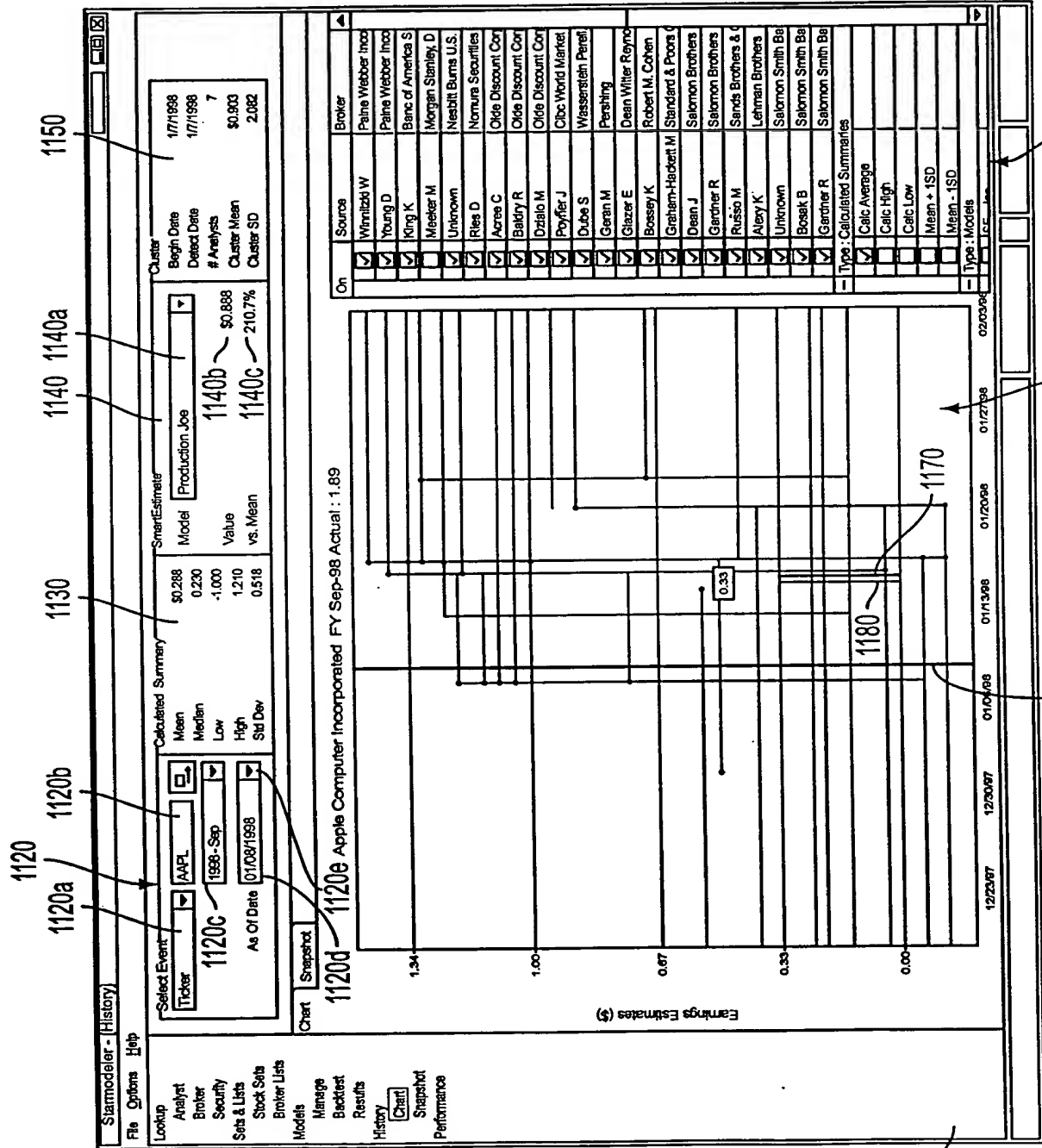


FIG. 9

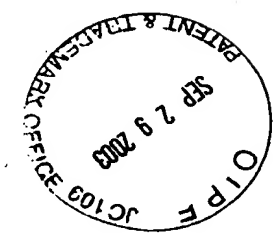


FIG. 10

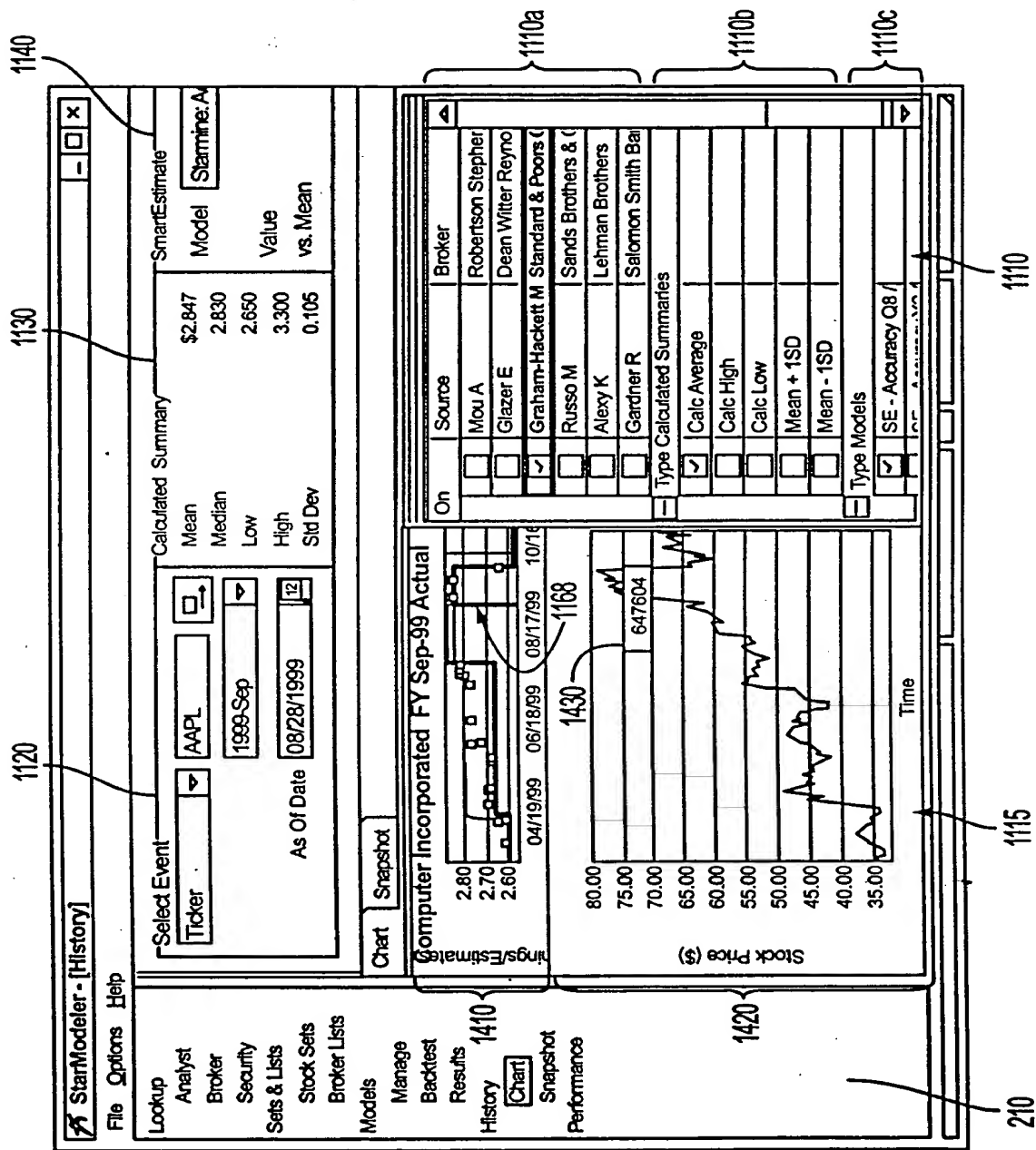


FIG. 11



2110 2120

StarModeler

File Options Help

Lookup

Analyst

Broker

Security

Sets & Lists

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

Name

Copy

Save

Move

Delete

Joe

2172

2174

2178

2182

General

Accuracy 1

Accuracy 2

All Star

Broker List

Experience

Estimate Age

Accuracy Q8/4

Accuracy Y3/1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy Q8/4

Cluster Accuracy Y3/1

DEFAULT

II All Star

Recency 80 Constant

Recency 80 Proportional

Research

accr2y/ft

accr4y/ft

Clust330a-120c

Clust330a-120c

clust233,100d/ft

clust433,100d/ft

clust633,100d/ft

emp6y/ft

Joe-AccOnly

Joe-ClustOnly

Mozes-120c

New Model

Rec100p

Rec30p

Rec50p

Production

Joe

2170

2172

2174

2178

2182

Model Name

Joe

Exclusions

☒ Exclude estimates older than 100 days old.

☐ Exclude estimates more than 2.5 standard deviations from the mean.

☒ Attempt to detect most recent cluster. Exclude all estimates prior to this point.

Cluster Definition

Adjacent estimates have a difference of no more than 3 days.

Estimates are revised in same direction by at least 5 percent

☐ Fixed number of analysts: at least 4 analysts
 ☒ Variable number of analysts

Require 2 analysts when # of analysts is between 2 and 4

Require 3 analysts when # of analysts is between 5 and 8

Require 4 analysts when # of analysts is between 9 and 20

Require 20% of analysts when followed by 21 or more analysts.

Factor Weights

Accuracy 1: 40(19.51%)

Accuracy 2: 60(29.27%)

All Star: 0(0.00%)

Broker List: 35(17.07%)

Experience: 35(17.07%)

Estimate Age: 35(17.07%)

2140

210

FIG. 13

2160

2110
2172 2174
2210

StarModeler
 File Options Help

Name Copy Style Move Delete JOB

Lookup
 Analyst
 Broker
 Security
 Sets & Lists
 Stock Sets
 Broker Lists
 Models
 Manage
 Backtest
 Results
 History
 Chart
 Snapshot
 Performance

General Accuracy 1 Accuracy 2 All Star Broker List Experience Estimate Age

Calculate each analyst's average Relative Err %

Using prior fiscal ☐ Require periods

For estimates made to months prior to the report date.

Assign N-Score

☐ By Error Score
 ☐ By Error Rank
 ☐ Equally To Top...

☐ All Analysts
 ☐ Only Top

Accuracy Q&A
 Accuracy Y3/1
 Basic Cluster
 Cluster 4A 3D 2% Same
 Cluster Accuracy Q&A
 Cluster Accuracy Y3/1
 DEFAULT
 All Star
 Recency 90 Constant
 Recency 90 Proportional
 Research
 accur4/yrk
 accur4/yrk
 Cluster300s-120c
 Cluster300s-120c
 cluster235,100d/yrk
 cluster135,100d/yrk
 cluster635,100d/yrk
 expert4/yrk
 Joe-AccOnly
 Joe-ChartOnly
 Mizes-120c
 New Model
 Rec100p
 Rec30p
 Rec60p
 Production Use

2220

2160

FIG. 14



2176

2110

StarModeler - [Broker]

File Options Help

Lookup Analyst Broker Security Sets & Lists Stock Sets Broker Lists Models Manage Backtest Results History Chart Snapshot Performance

Name Copy Save Move Delete Job

General Accuracy 1 Accuracy 2 All Star Broker List Experience Estimate Age

Starline

Accuracy QM4

Accuracy Y3/1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy QM4

Cluster Accuracy Y3/1

DEFAULT

II All Star

Recovery 80 Constant

Recovery 80 Proportional

Research

secur2y/1k

secur4y/1k

Chart330a-120c

Chart330a-120c

cluster235,100d/1k

cluster433,100d/1k

cluster635,100d/1k

exper10y/1k

Joe-AccOnly

Joe-ChartOnly

Mazze-120c

New Model

Rec100p

Rec30p

Rec60p

Production

Joe

All Star Determination

☒ Analyst was ever an LL All Star

☐ Analyst was an LL All Star in the previous year

2310

2320

All Star N-Score

All Star N-Score

Non All Star N-Score

1.00 (1.00)

0.25 (0.25)

210

2160

FIG. 15

2510

2520

2530

StarModeler - [Broker List] File Options Help

Name	Save	Rename	Copy	Delete
Broker List				
Joe				

Group #3 N-Score

Broker Name	# Analysts
Merrill Lynch	688
Salomon Smith Barney Inc	422
Lehman Brothers	388
Value Case De Boisa	339
Credit Suisse First Boston Corporation	336
Morgan Stanley, Dean Witter Discover	335
Goldman Sachs & Co	295
Salomon Brothers	283
Paine Webber Incorporated	270
Messitt Burns LLC	263

Group #2 N-Score

Broker Name	# Analysts
Morton Research	1
NOVA RESEARCH	1
Nautchy Investments, Inc.	6
Natexis Capital	1
National Bank Financial	105
National Securities Corporation	4
Natwest - Atr Research	28
Nbd Bank, Na	22
Nbs Stockbrokers Ltd.	3
Needham & Company	80
Nediger/Tucker/Bruner, Inc.	9
Nesbitt	28
Nesbitt Burns Inc.	100
Niss...	International

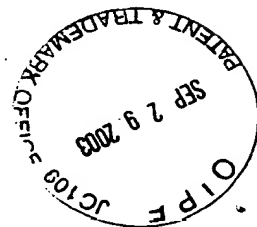
Group #1 N-Score

Broker Name	# Analysts
Advest Inc.	71
Argus Research Corp.	145
Dirty Dozen Research: No Agenda	1
Fifth Third/Ohio Company	30
Fourteen Research Corp.	18
Preferred Capital Markets	12
Standard & Poors Corp	275
Techvest, Llc	1
The Volume Investor	5
Unidentified Broker	1

FIG. 16

2160

210



2180

2610

2110

Starmodeler - [Broker]

File Options Help

Lookup

Analyst

Broker

Security

Sets & Lists

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

Name

Copy

Save

Move

Delete

Joe

General

Accuracy 1

Accuracy 2

All Star

Broker List

Experience

Estimate Age

Accuracy Q8/4

Accuracy Y3/1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy Q8/4

Cluster Accuracy Y3/1

DEFAULT

II All Star

Recency 90 Constant

Recency 90 Proportional

Research

accr2y/ftk

accr4q/ftk

Clust330a-120c

Clust530a-120c

clust235,100d/ftk

clust435,100d/ftk

clust435,100d/ftk

exper8q/ftk

Joe-AccOnly

Joe-ClustOnly

Mizes-120c

New Model

Rec100p

Rec30p

Rec60p

Production

Joe

Using

Quarters

Periods

Scoring systems: (Based on the following)

<= 1 periods receives a Score of 0.0

>= 16 periods receives a Score of 1.0

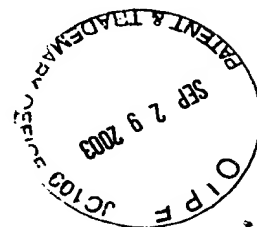
All experience in between the minimum and maximum receive a

Score = [# Periods - Minimum Period]/(Maximum Periods - Minimum Periods)

2160

FIG. 17

210



2132 2710

2110

StarModeler - [Broker]

File Options Help

Lookup

Analyst

Broker

Security

Stock Sets

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

Name

Copy

Save

Move

Delete

Job

General

Accuracy 1

Accuracy 2

All Star

Broker List

Experience

Estimate Age

Accuracy Q8/4

Accuracy Y3/1

Basic Cluster

Cluster 4A 3D 2% Same

Cluster Accuracy Q8/4

Cluster Accuracy Y3/1

DEFAULT

II All Star

Receiv 90 Constant

Receiv 90 Proportional

Research

secur2y/ftk

secur4y/ftk

Chart330a-120c

Chart330a-120c

cluster233,100d/ftk

cluster435,100d/ftk

cluster633,100d/ftk

exper4y/ftk

Joe-AccOnly

Joe-ChartOnly

Mazes-120c

New Model

Rec100p

Rec30p

Rec50p

Production

Job

Age-weighting

☐ Constant
 ☒ Proportional

Cutoff

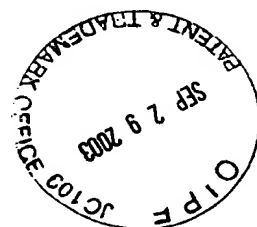
100

days

FIG. 18

2160

210



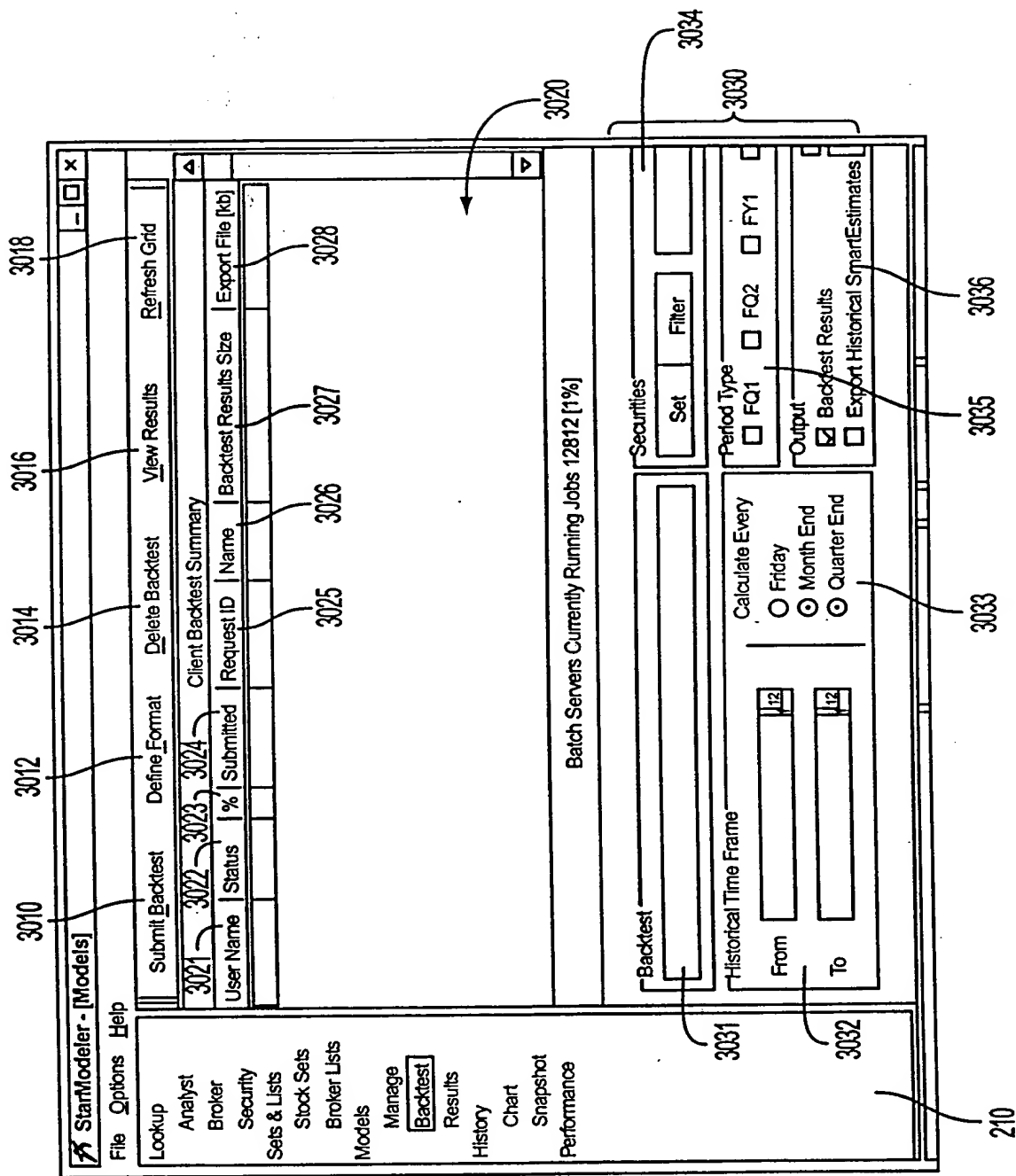


FIG. 19

3110 3130

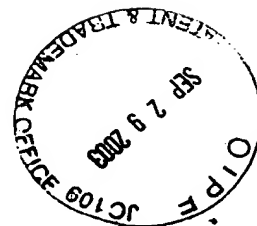
BackTester	
Models	Options
Selected	Model
[-] Category: Starline	
<input type="checkbox"/>	Accuracy Q8/4
<input type="checkbox"/>	Accuracy Y3/1
<input type="checkbox"/>	AccurateAnalysts.01
<input type="checkbox"/>	Basic Cluster
<input type="checkbox"/>	Cluster 4A 3D 2% Same
<input type="checkbox"/>	Cluster Accuracy Q8/4
<input type="checkbox"/>	Cluster Accuracy Y3/1
<input type="checkbox"/>	Clusters.01
<input type="checkbox"/>	DEFAULT
<input type="checkbox"/>	ExperiencedAnalysts.01
<input type="checkbox"/>	II All Star
<input type="checkbox"/>	Recency 90 Constant
<input type="checkbox"/>	Recency 90 Proportional
<input type="checkbox"/>	StarEstimate.01
<input type="checkbox"/>	TopBrokers.01

☒ Submit
 ☐ Close
 ☐ Help

3120

3140

FIG. 20



3130

BackTester

Models Options

Backtest

3210

Securities

Set Filter

No Group Selected

3220

Historical Time Frame

From 1/1/95 12/31/99 To 12/31/99 12/31/99

3230

Calculate Every

Friday Month End Quarter End

3240

Period Type

FQ1 FQ2 FY1 FY2 FY5

3250

Output

Backtest Results

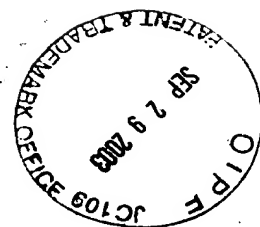
Export Historical Smart Estimates

Format Define/Select

3260

Submit Close Help

FIG. 21



3211

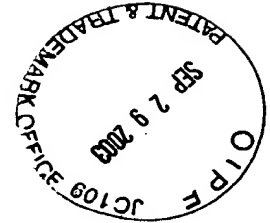
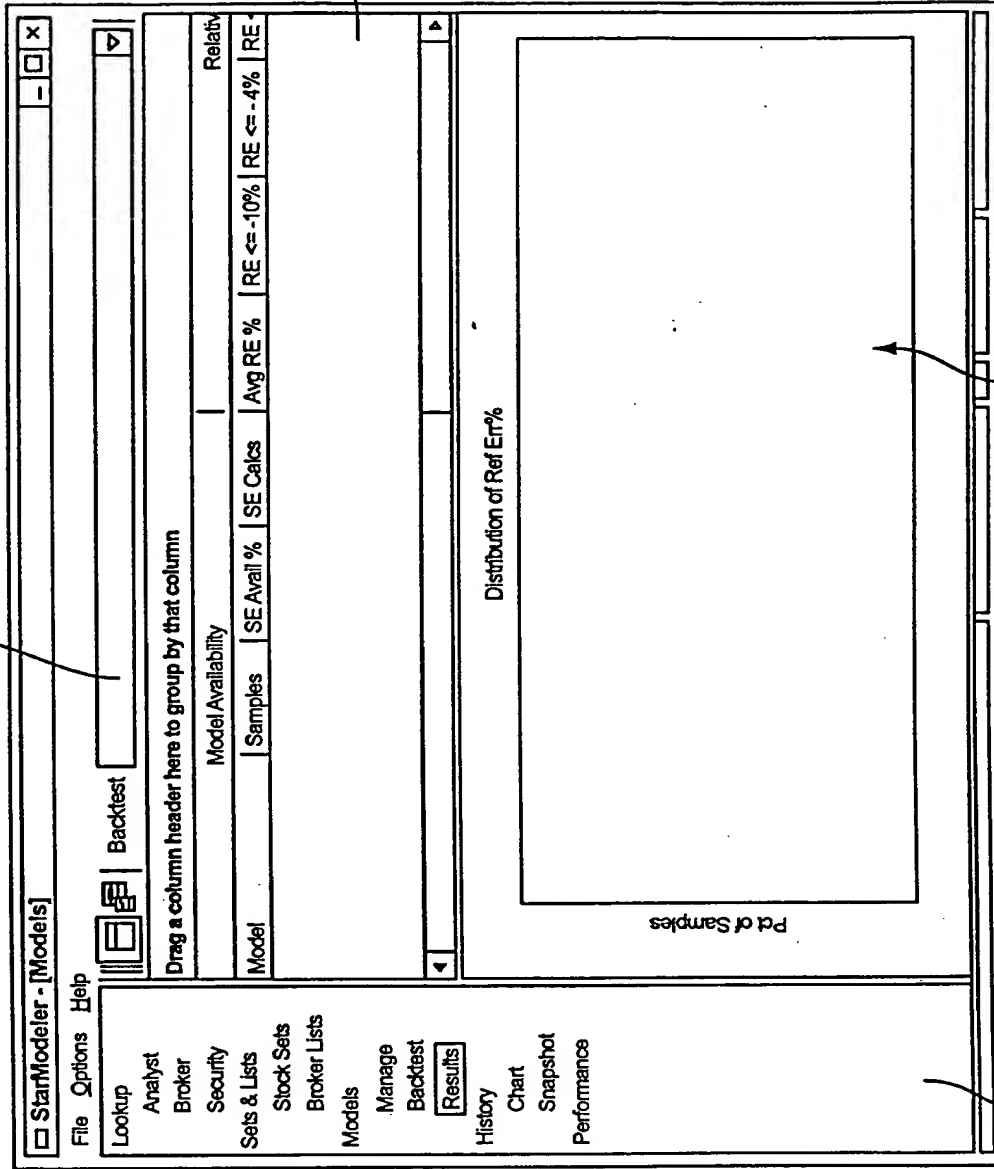


FIG. 22

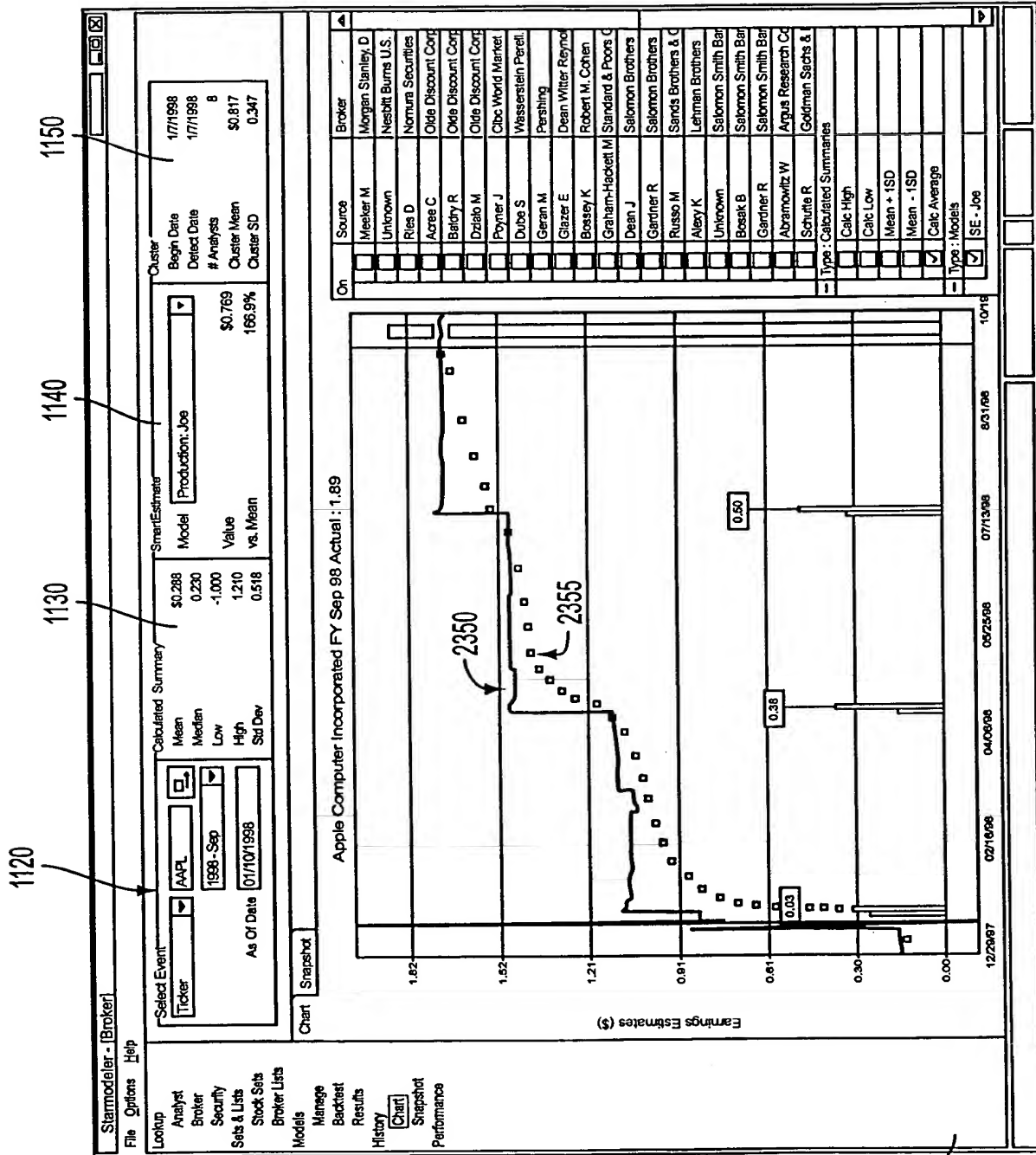


FIG. 23

3370
3310
3320
3330
3340

StarModeler - [Performance]
File Options Help

Prior Fiscal Periods: ☐ Quarters ☒ Years

As of Date:

Evaluation Window: to months prior to report date

Summary:

Avg ABS Error \$	
Avg Rel Error %	
Best Period	

Apple Computer Incorporated

Ticker: Search

Aggregate By: ☒ Analyst ☐ Broker ☐ Broker+Analyst

Analyst Name	Avg Re...	Tot...
Chu R	34.5	97.4
Meyer J	32.6	61.5
Painter L	32.6	99.6
Coyle J	23.3	33.3
Young D	22.9	100.0
Russo M	22.2	33.3
Meeker M	18.9	38.5
McCarthy K	15.5	66.7
Wu D	6.3	55.7
Dzialo M	0.0	33.3

Young D

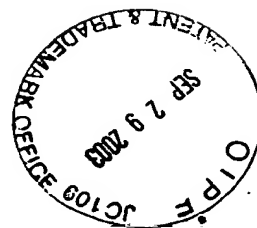
P...	A...	P...	E...	A...	B...	R...	F...	R...	E...
9/1/580	0	300	300	0.0	-2.4	00.0	87.0	0.7	
9/1/890	-1	791	791	-5.4	-4.3	00.0	25.0	5.0	
9/1/010	-2	173	173	8.3	4.9	00.0	6.7	6.7	

FIG. 24

3390

3360

210



StarModeler - [Performance]

File Options Help

Lookup

Analyst

Broker

Security

Sets & Lists

Stock Sets

Broker Lists

Models

Manage

Backtest

Results

History

Chart

Snapshot

Performance

3370

3310

Prior Fiscal/Periods

3

As of Date

03/13/2000

Quarters

Years

9

to

12

months prior to report date

Summary

Avg ABS Error \$

Avg Rel Error %

Best Period

Apple Computer Incorporated

Ticker

AAPL

Search

Aggregate By

Analyst

Broker

Broker+Analyst

Prudential Securities

P...	A...	P...	E...	A...	B...	R...	F...	R...	E...
9/1	580	0	230	230	-0.8	-0.7	33.5	55.6	3.3
9/1	890	-1	791	791	-5.4	-4.3	30.0	25.0	5.0
9/1	1010	-2	173	173	8.3	4.9	30.0	6.7	6.7

Drag a column header here to group by that column

Broker Name	Avg Re...	Tot...
J.P. Morgan	40.8	100.0
First Dallas Securities	40.0	8.4
Pershing	39.7	98.2
Sg Cowen	34.5	97.4
Janney Montgomery Scott Llc	32.6	61.5
Merrill Lynch	32.6	99.6
Donaldson, Lufkin & Jernette Secur	30.3	100.0
Prudential Securities	27.5	94.5
Sands Brother & Co., Inc.	22.2	33.3
Abn Amro Incorporated	6.3	55.7

210

3360

3390

FIG. 25

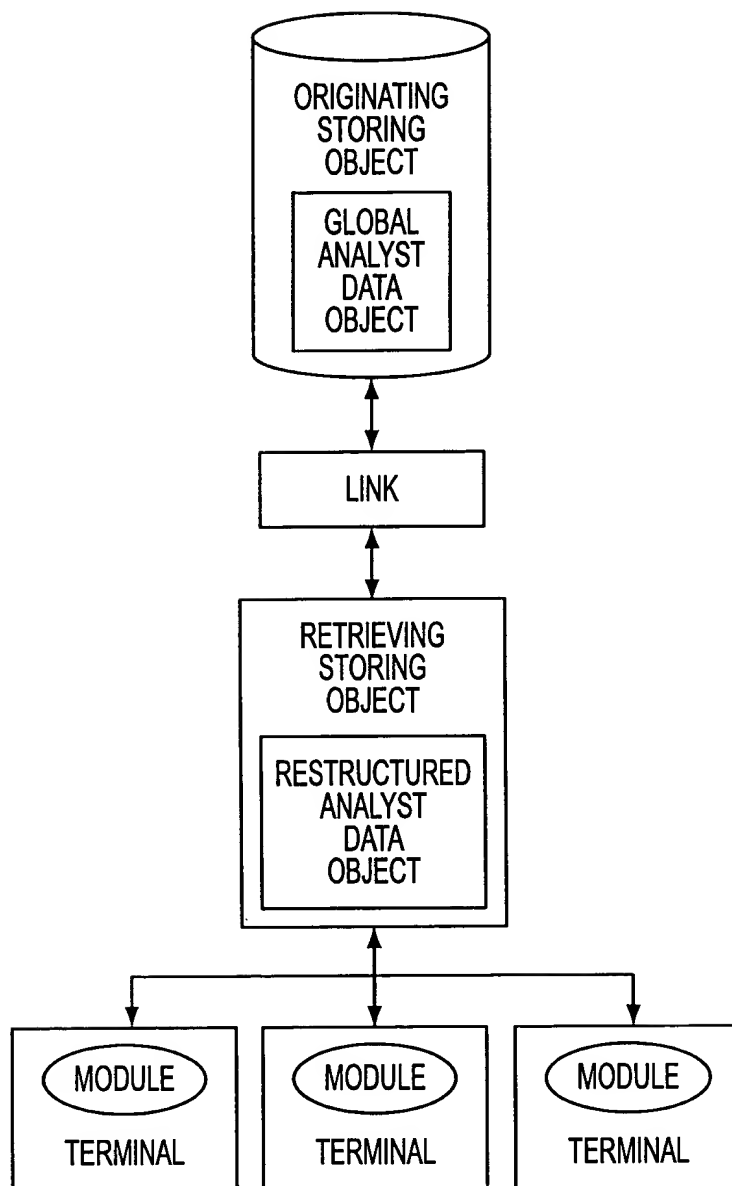
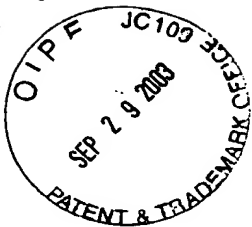


FIG. 27

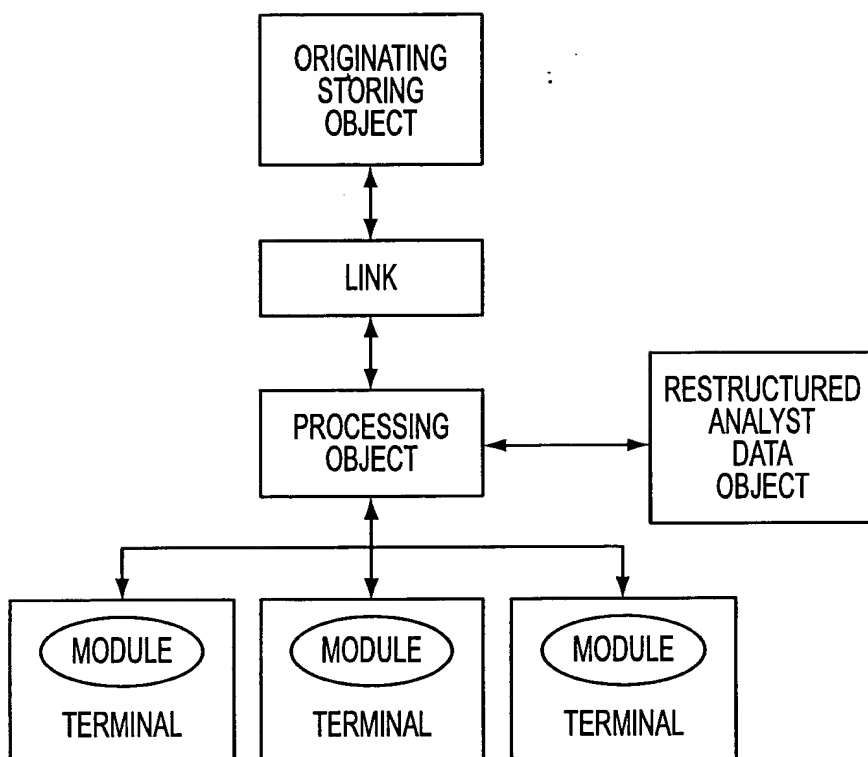


FIG. 28

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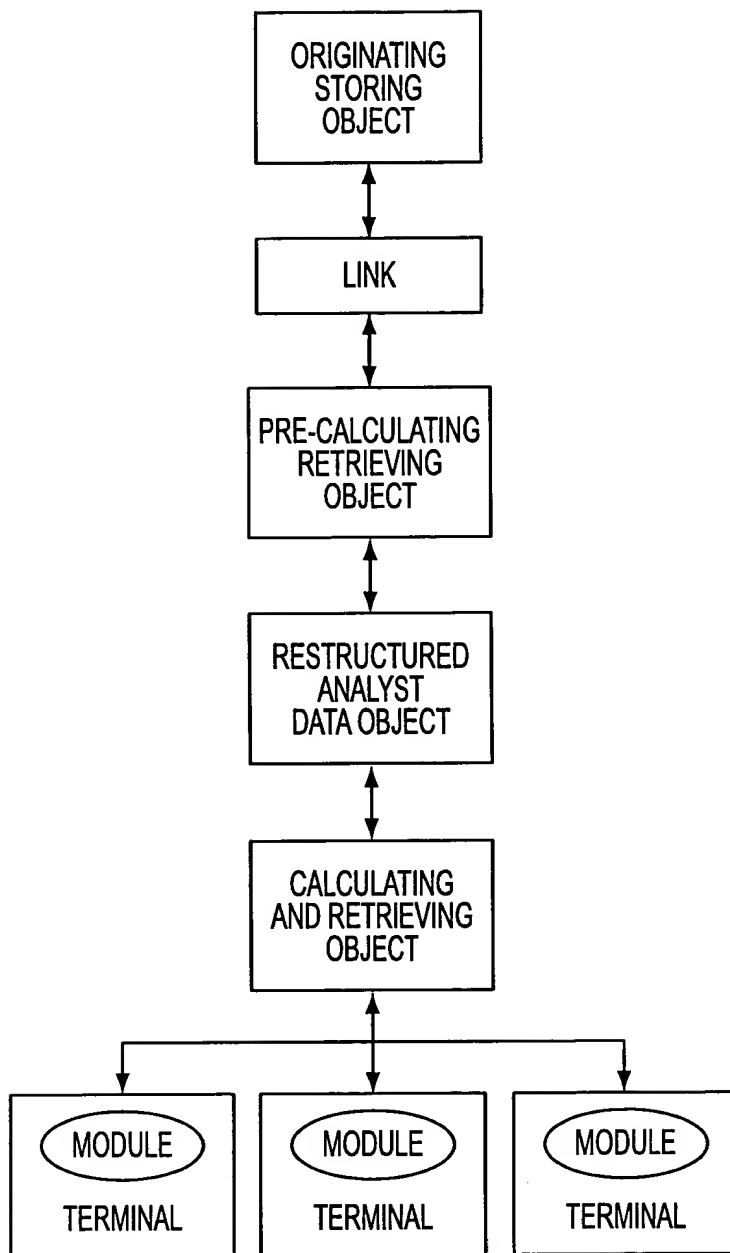


FIG. 29

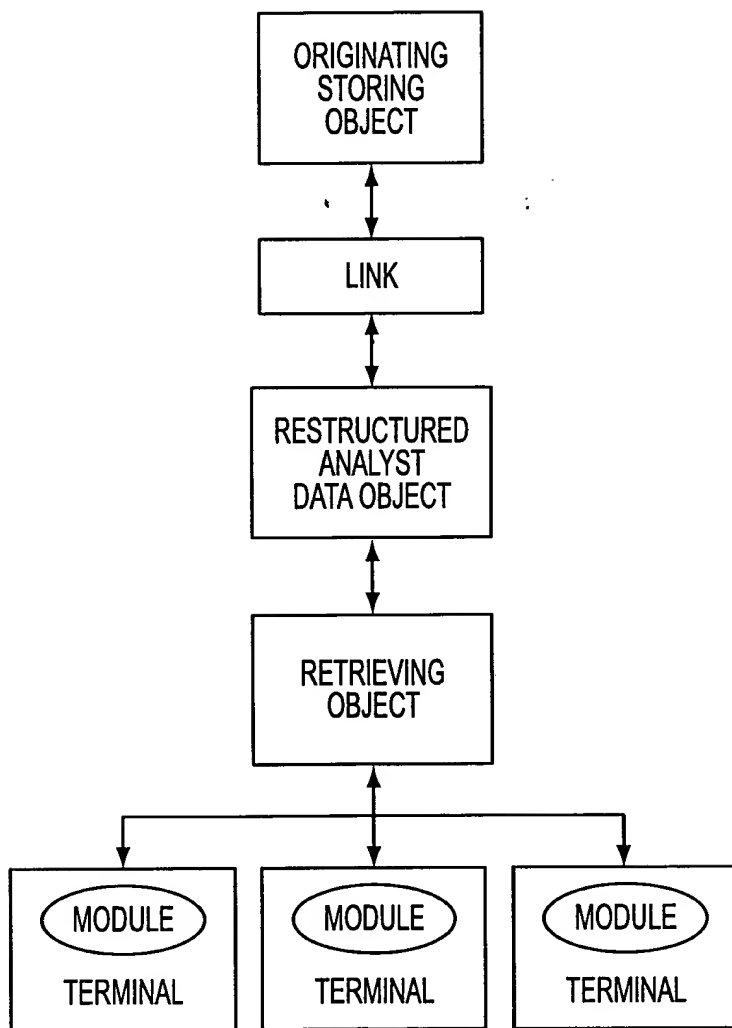


FIG. 30

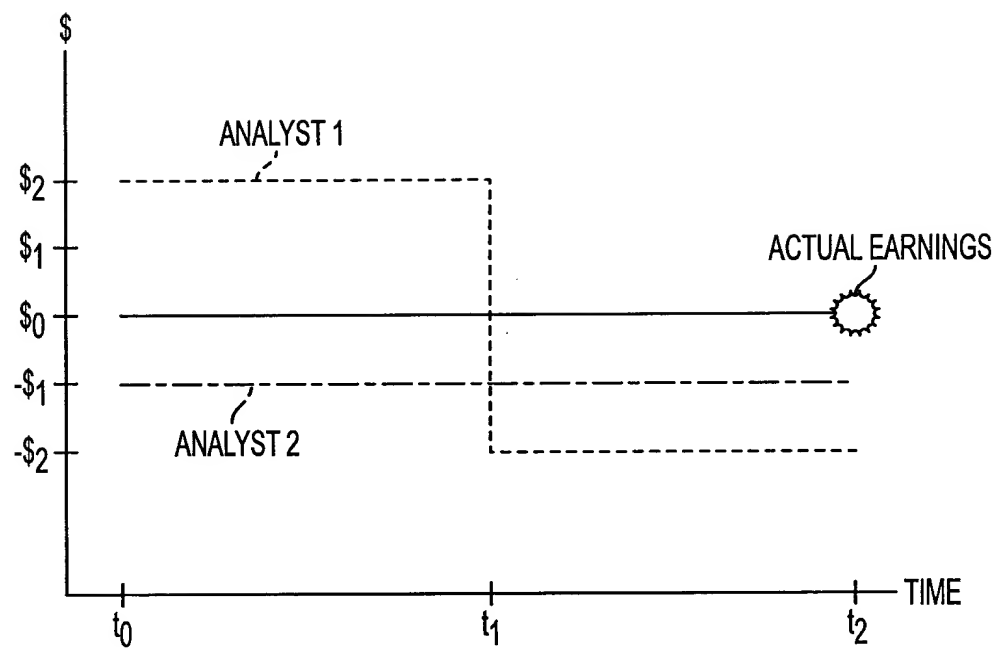
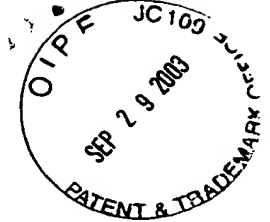


FIG. 31

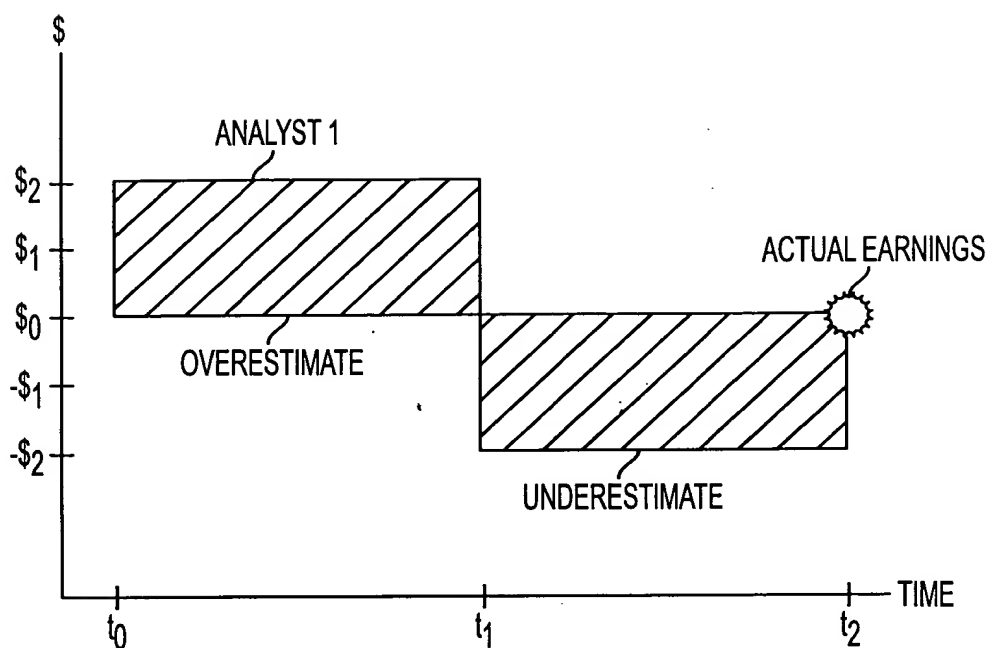


FIG. 32

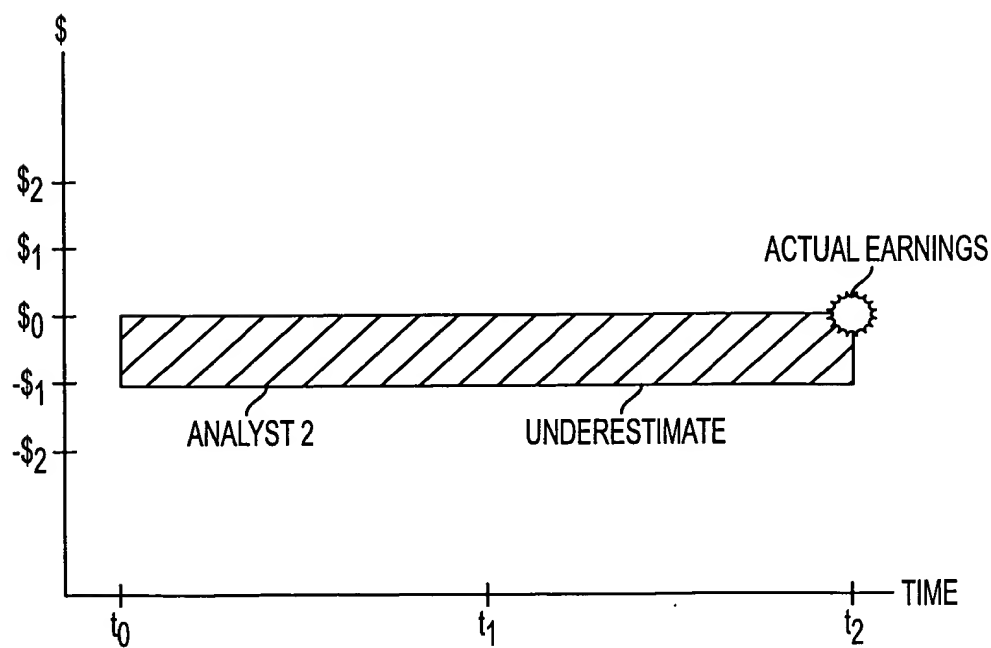


FIG. 33

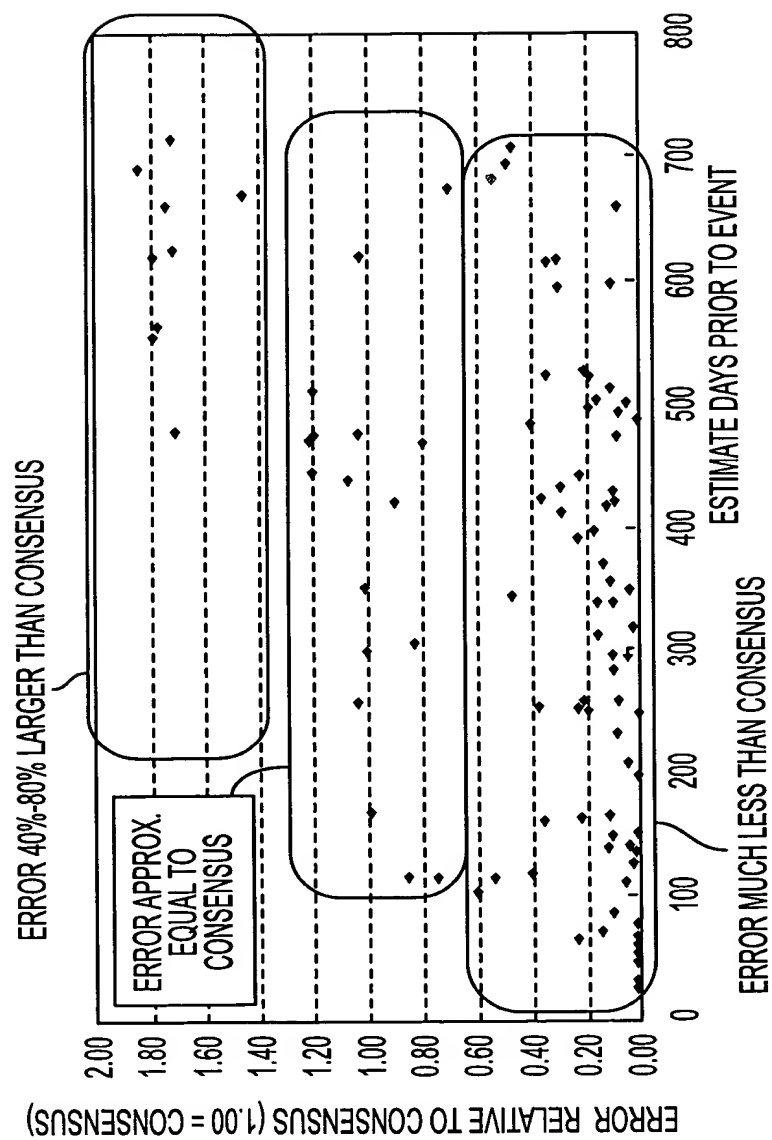


FIG. 34